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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: D. Schmitz et al.

Appln. No.: 09/896,061

Filed: June 29, 2001

For: Automated Execution System  
Having Participation

Attorney Docket No: 11927/90

Examiner: F. Poinvil

Art Unit: 3692

## INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicants hereby cite the following reference(s):

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<u>Patent No.</u>	<u>Date</u>	<u>Inventor</u>
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<u>Document No.</u>	<u>Date</u>	<u>Country</u>
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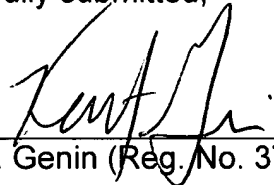
Applicant is enclosing Form PTO-1449 (four sheets), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R §1.98(a)(3). Applicant respectfully requests the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

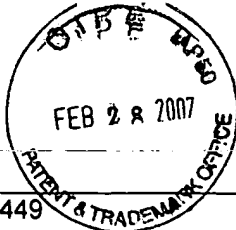
By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

2/28/2007  
Date

  
Kent E. Genin (Reg. No. 37,834)



FORM PTO-1449	SERIAL NO. 09/896,061	CASE NO. 11927/90
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>	FILING DATE June 29, 2001	GROUP ART UNIT 3692
(use several sheets if necessary)		APPLICANT(S): D. Schmitz et al.

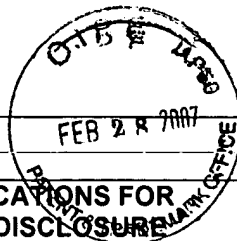
# REFERENCE DESIGNATION

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EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
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	A2	3,581,072	05/25/71	Nymeyer		
	A3	4,412,287	10/25/83	Braddock, III		
	A4	4,674,044	06/16/87	Kalmus et al.		
	A5	4,903,201	02/20/90	Wagner		
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	A8	5,101,353	03/31/92	Lupien et al.		
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	A13	5,315,634	05/24/94	Tanaka et al.		
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	A15	5,689,652	11/18/97	Lupien et al.		
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	A25	5,845,266	12/01/98	Lupien et al.		
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	A27	5,905,974	05/18/99	Fraser et al.		
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EXAMINER	DATE CONSIDERED
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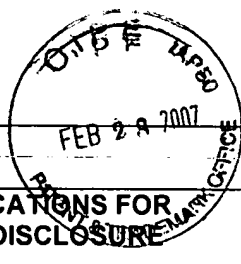
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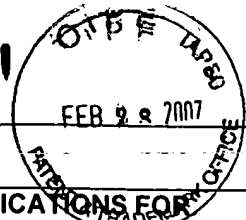
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	A84 WO 01/22332	03/29/01	PCT		
	A85 WO 01/88808	11/22/01	PCT		
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EXAMINER INITIAL	<b>OTHER ART – NON PATENT LITERATURE DOCUMENTS</b> (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	
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	A88	"The Pandora's Box over autoquotes; Industry Trend or Event", <i>Wall Street &amp; Technology</i> , Section No. 3, Vol. 13, Pg. 38; ISSN: 1060-989X, March 1997
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	A93	A Report On The Operation Of The Cincinnati Stock Exchange National Securities Trading System 1978-1981, U.S. Securities And Exchange Commission, September 1982
	A94	CBOT Press Release Entitled "Impressive Project A® Provides Extended Opportunity In CBOT Financial Complex", dated January 1995, printed from the Internet at <a href="http://web.archive.org/web/19990429192354/finance/wat.ch/SCFOA/bulletin/_0001960.htm">http://web.archive.org/web/19990429192354/finance/wat.ch/SCFOA/bulletin/_0001960.htm</a> on 10/31/05, 3 pages

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	A98	A. Sarker et al., "Electronic Trading On Futures Exchanges," Current Issues In Economics And Finance, Federal Reserve Bank Of New York, Vol. 4, No. 1, January 1998
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	A100	CBOE Rules, CCH (1989) (Rules 6.45-8.80)
	A101	CBOE Information Circular IC 93-88 (November 18, 1993)
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	A105	Notice Of Receipt Of Plan Filed Pursuant To Section 11A(a)(3)(B) Of The Securities Exchange Act Of 1934, 1980 WL 29398, SEC Release No. 16519, January 22, 1980
	A106	New York Stock Exchange Constitution And Rules (Commerce Clearing House, Inc. New York Stock Exchange Guide) July 15, 1965, pp. 2644-45; 2682-83
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	A108	J. Meeker, The Work Of The Stock Exchange, The Ronald Press Company 1923, pp. 108-109
	A109	CBOE Information Circular IC91-15, February 25, 1991
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